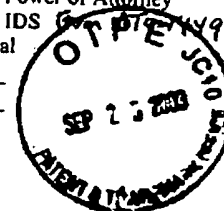


S/N: 09/759,915 File No. 15.30/5630 Date Filed: Sept-23-2003 By: ASL  
 Title: Semiconductor Devices

The Following was received in the Patent & Trademark Office:

<input type="checkbox"/> Amendment	<input type="checkbox"/> Drawings, # of Sheets _____
<input type="checkbox"/> Trademark Application	<input type="checkbox"/> Formal <input type="checkbox"/> Informal
<input type="checkbox"/> Application for Patent Including:	<input type="checkbox"/> Issue Fee Transmittal
Pages: Spec, _ Claims, Abstract	<input type="checkbox"/> Letter re: _____
<input type="checkbox"/> Declaration, Affidavit or Oath	<input type="checkbox"/> Notice of Appeal
<input type="checkbox"/> Assign; Ck. No. _____ for \$ _____	<input type="checkbox"/> Petition re: _____
<input type="checkbox"/> Verified Statement	<input type="checkbox"/> Advance soft copy order:
<input checked="" type="checkbox"/> Letter of Transmittal → <u>copy</u>	<input type="checkbox"/> Check No. _____ for \$ _____
<input type="checkbox"/> Maintenance Fee Transmittal	<input type="checkbox"/> Certified Copy; # _____ of Docs.
<input type="checkbox"/> Check No. _____ for \$ _____	<input type="checkbox"/> Power of Attorney
<input type="checkbox"/> Check No. _____ for \$ _____	<input checked="" type="checkbox"/> IDS <u>6</u>
<input type="checkbox"/> Request for Continued Examination (RCE) transmittal	
<input checked="" type="checkbox"/> <u>copies of all ref's listed on PTO-1449</u>	



15.30/5630

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re the Application of:	)	Group Art Unit: 2813
TSUGANE et al.	)	
Serial No. 09/759,915	)	Examiner: Nguyen, Tuan H.
Filed: January 13, 2001	)	
For: SEMICONDUCTOR DEVICES AND	)	
METHODS FOR MANUFACTURING	)	
THE SAME	)	

**TRANSMITTAL OF COPY OF PAPERS PREVIOUSLY FILED**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sirs:

As requested by the Examiner in this case, applicant is sending via facsimile a copy of the two IDS transmittal letters, two PTO Form 1449's, and two postcards with Patent & Trademark Office stamps thereon indicating that the papers (and references attached thereto) were filed by applicant and received at the Office.

Respectfully submitted,

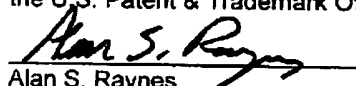
Alan S. Raynes  
Reg. No. 39,809

Nov. 5, 2003  
Date

Konrad Raynes Victor & Mann, LLP  
315 South Beverly Drive, Suite 210  
Beverly Hills, CA 90212  
(310) 556-7983 (general tele)  
(310) 871-8448 (direct tele)  
(310) 556-7984 (fax)  
Customer No. 24033

**Certificate of Transmission**

I hereby certify that correspondence including this transmittal letter, two IDS transmittal letters, two PTO Form 1449's, and two postcards with Patent & Trademark Office stamps thereon are being transmitted to the U.S. Patent & Trademark Office via facsimile to number (703) 746-3796 on Nov. 5, 2003.

  
Alan S. Raynes

Nov. 5, 2003  
(Date)

15.30/5630

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re the Application of:	)	Group Art Unit: 2813
TSUGANE et al.	)	
Serial No. 09/759,915	)	Examiner: Nguyen, Tuan H.
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For: SEMICONDUCTOR DEVICES AND	)	
METHODS FOR MANUFACTURING	)	
THE SAME	)	

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sirs:

In accordance with 37 CFR §§ 1.56, 1.97, and 1.98, enclosed please find Form PTO-1449 listing the attached references which might be deemed material to the examination of the above-identified application.

A. Non-English Language References

- ☐ Enclosed is a search report for a counterpart application. The search report Examiner has provided comments on the relevancy of any non-English language references cited in the search report.
- ☐ The specification incorporates comments on the relevancy of Non-English language references.
- ☐ Set forth below are comments provided by the applicant's home country counsel on the relevancy of non-English language references:
- ☒ The Notice of Reasons of Rejection for Japanese Patent Application 2000-005042 (from which priority is claimed for US 09/759,665) dated June 17, 2003 cites the following Japanese patent references: 09-260607, 11-340433, 09-116113, 10-083867 and 2000-196037. An English language abstract and computer generated translation (the accuracy of which is not certified) have been submitted for these references.

15.30/5630

- B. ☒ The information disclosure statement submitted herewith is being filed
- 1) within three months of the filing date of a national application other than a continued prosecution application under 1.53(d);
  - 2) within three months of the date of entry into the national stage as set forth in 1.491 in an international application;
  - 3) before the mailing date of a first Office Action on the merits;
  - 4) before the mailing date of a first Office Action after filing of a Request for Continued Examination under 1.114; or
  - 5) before the mailing date of a first Office Action after filing of a Continued Prosecution Application.
- C. ☐ The information disclosure statement transmitted herewith is being filed *after* the period specified in paragraph B, but before the mailing date of a final action under 1.113, a Notice of Allowance under 1.311, or an action otherwise closing prosecution, and is accompanied by:
- 1) a Statement under 1.97(e); or
  - 2) a fee of \$180 as set forth in 1.17(p).
- D. ☐ The information disclosure statement transmitted herewith is being filed *after* the period specified in paragraph C, but before payment of the issue fee, and is accompanied by:
- 1) a Statement under 1.97(e); and
  - 2) a fee of \$180 as set forth in 1.17(p).

**STATEMENT UNDER 1.97(e)**

I, the person signing below, certify

- ☐ that each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart

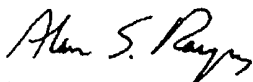
15.30/5630

foreign application not more than three months prior to the filing of the statement.  
37 C.F.R. 1.97(e)(1).

- ☐ that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 1.56(c) more than three months prior to the filing of the statement. 37 C.F.R. 1.97(e)(2).

- **Please charge any insufficiency or credit any overpayment to Deposit Account No. 50-0585.** A duplicate of this letter is enclosed for fee processing.

Respectfully submitted,



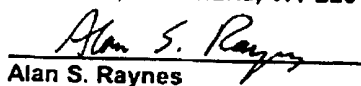
Alan S. Raynes  
Reg. No. 39,809

Sept. 23, 2003  
Date

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Beverly Hills, CA 90212  
(310) 556-7983 (general tele)  
(310) 871-8448 (direct tele)  
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Customer No. 24033

**Certificate of Mailing**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail on Sep. 23, 2003 and is addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



Alan S. Raynes

Sep. 23, 2003  
(Date)

15.30/5630

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re the Application of:	)	Group Art Unit: 2813
TSUGANE et al.	)	
Serial No. 09/759,915	)	Examiner: Nguyen, Tuan H.
Filed: January 13, 2001	)	
For: SEMICONDUCTOR DEVICES AND	)	
METHODS FOR MANUFACTURING	)	
THE SAME	)	

---

**TRANSMITTAL OF COPY OF IDS REFERENCES PREVIOUSLY FILED**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sirs:

As requested by the Examiner, Applicant is submitting a second copy of the references listed on the attached Form PTO-1449 which might be deemed material to the examination of the above-identified application. A copy of these references was previously submitted to the Office.

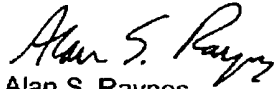
The Japanese language document entitled Notice of Reasons of Rejection for Japanese Patent Application No. 2000-005336 (from which priority is claimed for U.S. Application No. 09/759,715) dated June 17, 2003, lists 09-232531, 11-150248, and 11-317503, which are listed on the attached PTO-1449. The Japanese language document entitled Notice of Reasons of Rejection for Japanese Patent Application No. 2000-005335 (from which priority is claimed for U.S. Serial No. 09/759,915) dated June 17, 2003, lists the eight patent documents cited on the attached PTO-1449. English language abstracts have been submitted for the eight patent documents listed on the attached PTO-1449. Computer generated translations (the accuracy of which is not verified) have been submitted for JP09-321242, JP09-232531, 11-150248, and 11-317503.

It is believed that no fee is due for consideration of this document and the attached references. If, however, any such fee is due, please charge any insufficiency or credit any

15.30/5630

overpayment to Deposit Account No. 50-0585. A duplicate of this letter is enclosed for fee processing.

Respectfully submitted,



Alan S. Raynes  
Reg. No. 39,809

Sept. 23, 2003  
Date

Konrad Raynes Victor & Mann, LLP  
315 South Beverly Drive, Suite 210  
Beverly Hills, CA 90212  
Customer No. 24033

(310) 556-7983 (tele general)  
(310) 871-8448 (tele direct)  
(310) 556-7984 (fax)

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I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail on Sept. 23, 2003 and is addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

  
Alan S. Raynes

Sept. 23, 2003  
(Date)

Sheet 1 of 1

FORM PTO-1449 (revised) U.S. Department of Commerce  
IREV. 7.801 PATENT AND TRADEMARK OFFICE

Attorney Docket No.  
15.30/5630

Serial No.  
09/759,915

**INFORMATION DISCLOSURE STATEMENT**

(Use several sheets if necessary)

Applicant:  
TSUGANE et al.

Filing Date  
1/13/01

Group  
2813

**U.S. PATENT and PATENT APPLICATION DOCUMENTS**

Examiner Initial	Document Number							Date	Name	Class	Sub-Class	Filing Date if Appropriate
	6	3	8	4	4	4	4	7May02	Sakoh			6Dec00
	6	0	4	0	5	9	6	21Mar00	Choi et al.			
	4	5	9	8	4	6	0	8Jul86	Owens et al.			
	6	4	0	4	0	0	1	11Jun02	Koo et al.			26Jan01 parent (6Aug99)
	5	4	2	0	4	4	9	30May95	Oji			
	2001	00	1	3	6	3	2	16Aug01	Richiuso			29Mar01 parent (9Nov99)

**FOREIGN PATENT DOCUMENTS**

	Document Number							Date	Country	Class	Sub-Class	Translation	
												Yes	No
	09-	2	6	0	6	0	7	03Oct97	Japan			abst. + computer	
	11-	3	4	0	4	3	3	10Dec99	Japan			abst. + computer	
	09-	1	1	6	1	1	3	2May97	Japan			abst. + computer	
	10-	0	8	3	0	6	7	31Mar98	Japan			abst. + computer	
	2000-	1	9	6	0	3	7	14Jul00	Japan			abst. + computer	

**OTHER DOCUMENTS** (Including Author, Title, Date, Pertinent Pages, Etc.)

Notice of Reasons of Rejection for Japanese Patent Application No. 2000-005042 (priority for 09/759,665) dated June 17, 2003 (which lists 09-260607, 11-340433, 09-116113, 10-083867 and 2000-196037 cited above).

Examiner

Date Considered

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



Sheet 1 of 1

FORM PTO-1449  
IREV. 7.801U.S. Department of Commerce  
PATENT AND TRADEMARK OFFICEAttorney Docket No.  
15.30/5630Serial No.  
09/759,915**INFORMATION DISCLOSURE STATEMENT**

(Use several sheets if necessary)

Applicant:  
TSUGANE et al.Filing Date  
1/13/01Group  
2813**FOREIGN PATENT DOCUMENTS**

		Document Number							Date	Country	Class	Sub-Class	Translation	
													Yes	No
		09-	3	2	1	2	4	2	12Dec97	Japan			abst. + computer	
		09-	2	3	2	5	3	1	5Sep97	Japan			abst. + computer	
		11-	1	5	0	2	4	8	2Jun99	Japan			abst. + computer	
		11-	3	1	7	5	0	3	16NOV99	Japan			abst. + computer	
		10-	2	8	4	7	0	2	23OCT98	Japan			abst.	
		11-	0	7	4	4	8	7	16MAR99	Japan			abst.	
		11-	2	1	4	6	5	6	6AUG99	Japan			abst.	
		11-	3	3	0	2	7	2	30NOV99	Japan			abst.	

**OTHER DOCUMENTS** (Including Author, Title, Date, Pertinent Pages, Etc.)

	Notice of Reasons of Rejection for Japanese Patent Application No. 2000-005336 (from which priority is claimed for U.S. Application No. 09/759,715) dated June 17, 2003 (which lists 09-232531, 11-150248, 11-317503 cited above).
	Notice of Reasons of Rejection for Japanese Patent Application No. 2000-005335 (from which priority is claimed for U.S. Serial No. 09/759,915) dated June 17, 2003 (which lists the eight documents cited above).
Examiner	Date Considered

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.